 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

**DOWNLOADED AND/OR HARD COPY UNCONTROLLED**


Verify that this is the correct version before use.

APPROVAL SIGNATURES		DATE
Gregory Blaney (original signature on file)	QMS Management Representative	10/29/2004

REVISION HISTORY			
Rev. No.	Description of Change	Author	Effective Date
Basic	Initial Release	Wes Deadrick	09/10/2003
A	Updated reference documents to include relevant standards. Evaluated and updated the metrics collected as a result of this process.	Wes Deadrick	11/03/2004

REFERENCE DOCUMENTS	
Document Number	Document Title
IVV 16	Control of Quality Records
NASA Procedural Requirements (NPR) 5100.4B	Federal Acquisition Regulation Supplement (NASA/FAR Supplement)
NASA Procedural Requirements (NPR) 5800.1E	Grants and Cooperative Agreement Handbook
NASA STD 8739.8	Standard for Software Assurance
IVV 09-3-2	Selecting OSMA SARP Initiatives
IVV 09-3-3	Selecting IV&V Facility Research Initiatives
IVV 09-3	Research Program
IVV 09-6	Purchasing

CHECK THE MASTER LIST at <http://ims.ivv.nasa.gov/>  
 VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE

 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

## **1.0 Purpose**

This work instruction provides the requirements for processing procurements for research initiatives to be managed by the NASA Independent Verification and Validation (IV&V) Facility. This process is intended to be compliant with NASA Procedural Requirements (NPR) 5100.4B, Federal Acquisition Regulation Supplement (NASA/FAR Supplement), and NPR 5800.1E, Grants and Cooperative Agreement Handbook.

## **2.0 Scope**

The general requirements within this work instruction apply to the IV&V Facility which performs research in accordance with IVV 09-3, Research Program, when the IV&V Facility is responsible for processing the procurements of research initiatives. These requirements are applicable whenever a proposal for research is selected for award or renewal by the Research Lead or Source Evaluation Board and will be managed by a NASA Civil Servant who is located at the NASA IV&V Facility.

## **3.0 Definitions and Acronyms**

### **3.1 Research Lead**


NASA civil servant with the overall management authority and responsibility for the research program at the IV&V Facility. While not always the selection authority, the Research Lead will keep track of initiatives that need to be awarded or renewed.

### **3.2 Point Of Contact**


NASA civil servant that is responsible for the administrative requirements imposed upon a research project.

### **3.3 Acronyms**

CFR	Code of Federal Regulations
CIM	Center Initiative Management
COTR	Contracting Officer Technical Representative
FAR	Federal Acquisition Regulation

 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

GSFC	Goddard Space Flight Center
IFMP	Integrated Financial Management Program
IV&V	Independent Verification and Validation
JPL	Jet Propulsion Laboratory
NPR	NASA Procedural Requirements
OSMA	Office of Safety and Mission Assurance
POC	Point Of Contact
PR	Procurement Request
SARP	Software Assurance Research Program

 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

## 4.0 Flow Chart

### Procurement Process for Research Initiatives

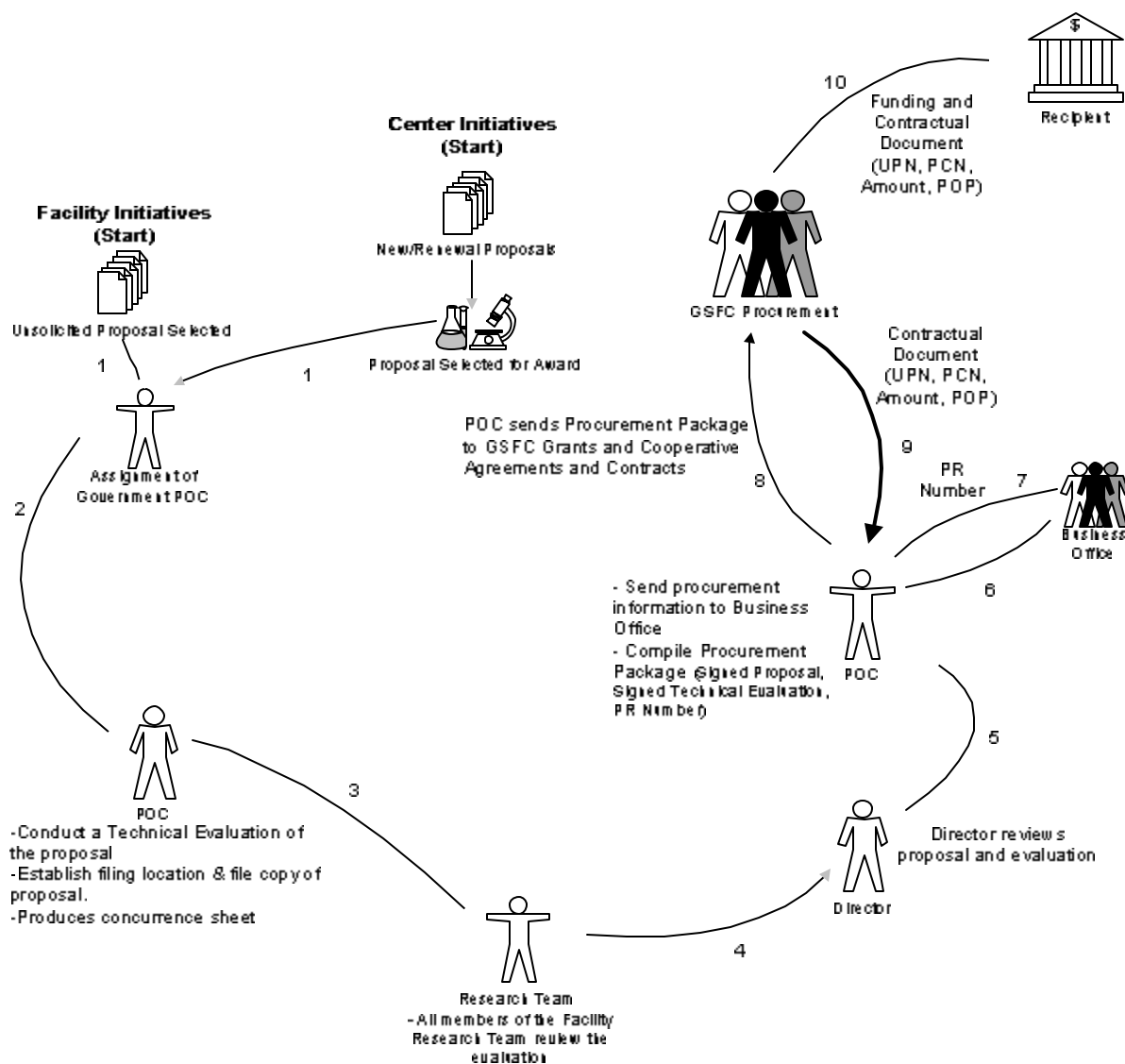



Table 4-1

CHECK THE MASTER LIST at <http://ims.ivv.nasa.gov/>  
VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE

 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

## **5.0 Responsibilities**

### **5.1 Director**

Shall:

- Review and approve content of all new research initiatives and technical evaluations.
- Retain the option of delegating these responsibilities.

### **5.2 Research Lead**


Shall:

- Decide based on availability of funds, whether awards will be funded as a lump sum or incrementally.
- Coordinate with the Deputy Director and the IV&V Services Lead to assign an IV&V Facility Government Point Of Contact, who will also serve as the Contracting Officer Technical Representative (COTR), and will be responsible for the day to day management of the initiative.
- Formulate the overall research budget and provide it to the Business Office.

### **5.3 Point Of Contact**

Shall:

- Conduct a detailed technical evaluation of the proposal in accordance with NPR 5800.1E.
- Provide the Director of the IV&V Facility with a completed concurrence sheet, detailed technical evaluation, and a signed copy of the proposal.
- Send the IV&V Facility Business Office all information required to create a Procurement Request (PR).
- Forward to the grant office a completed procurement package.
- File proposal, technical evaluation, and award documentation for proposal.

 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

#### **5.4 Business Office**

Shall:

- Create and send a PR to the appropriate procurement office at Goddard Space Flight Center (GSFC)
- Provide the POC with a copy of the PR.

#### **6.0 Procedure**

##### **6.1 Select Research Proposals**

- OSMA SARP Proposals are selected in accordance with IVV 9-3-2.
- IV&V Facility Initiatives are selected in accordance with IVV 9-3-3.

##### **6.2 Assign POC**


The Research Lead shall coordinate with the IV&V Facility Deputy Director and IV&V Services Lead to assign a government POC to manage each approved proposal.

##### **6.3 Conduct Technical Evaluation of Proposal**

The POC will conduct a detailed technical evaluation of the proposal to be submitted to the appropriate procurement office as set forth in NASA FAR subpart 15.6 and 48 CFR subpart 1815.6. The POC will also create a concurrence sheet for the technical evaluation and then establish a physical file location to store all information relevant to the proposal.


##### **6.4 Top Level Review**

The IV&V Facility Director will review the technical evaluation of the research proposal and then make the decision to accept or reject the evaluation. If the Director decides to accept the technical evaluation he/she will sign the evaluation and concurrence sheet and return them to the POC. If the Director decides to reject the technical evaluation, he/she will return them to the POC with comments regarding the decision.

 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

## 6.5 Compile Procurement Package

- a. The POC will provide the IV&V Facility Business Office with all the necessary information required to create the PR, including:
  - Title of the proposal
  - Name of the Principle Investigator
  - Address of the Principle Investigator's institution
  - Amount of award
  - Source of funding
  - Copy of the signed technical evaluation
- b. The POC will then compile a procurement package consisting of the following:
  - i. New Research Initiative
    - Copy of solicitation cover (Only applies to SARP)
    - Signed copy of submitted proposal
    - Endorsed technical evaluation of the proposal
    - Detailed budget including current year and all proposed out years
    - Copy of the letter notifying PI of selection (Only applies to SARP)
    - Certification for Debarment, Suspension, and other Responsibility Matters signed by the PI
    - Assurance for Non-discrimination Compliance signed by the PI
  - ii. Renewed Research Initiative
    - Memorandum of Continuation for a Multiple Year Award signed by the POC (Applies only to Grants, and is required in order to fund each option year of the grant)
    - Copy of the last quarterly technical report
    - Detailed budget for the proposal (Only applies if the option years funding exceeds amount specified in the proposal by 20%)

 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

## **6.6 Create Procurement Request**

- a. The IV&V Facility Business Office will create a PR and submit it to the appropriate procurement office at GSFC.
- b. The appropriate procurement office will be determined by the nature of the award. If the proposal will be awarded as a grant it will be submitted to the GSFC Grants office, however if the proposal will be awarded as a contract then it will be submitted to the GSFC Contracts office.
- c. Contractual vehicle determination for research initiatives generally follows the rule of thumb that grants are typically awarded only to colleges or universities where as contracts are awarded to organizations.


## **6.7 File Procurement Package**

The POC shall file a copy of the complete procurement package in the physical file designated for each awarded proposal.

## **6.8 Submit Procurement Package**

The POC shall mail the procurement package, including the PR number and all signed originals, to the appropriate GSFC procurement office. In addition, the POC will files a copy of all documents included in the procurement package in the NASA physical file location established for the proposal.



 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Processing Procurements for Research Initiatives</b>	<b>IVV 09-3-4 Revision: A Effective Date: November 3, 2004</b>
--	--	--

## 7.0 Metrics

Each metric is to be tracked for trend analysis to understand where resources are being applied and with what results. The intent is to improve existing processes and continually revisit research focus strategies. The metrics will include:

- Time elapsed from proposal selection to procurement finalized.

## 8.0 Records

The following Quality Records shall be generated and managed in accordance with IVV 16, Control of Quality Records, when applicable in accordance with this Work Instruction for the Processing Procurements for New Research Initiatives.

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
Research Proposal	Research Lead or POC	Permanent	CIM Tool
Technical Evaluation	POC	Permanent	Project File
Procurement Package	POC	Permanent	Project File
Procurement Request	Business Office and POC	Permanent	Project File